

# **EXHIBIT Y**



### Animal Welfare Inspection Guide

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## 2.7. Exit Interview

An exit interview is **required** for all inspections (complete or focused), unless your personal safety is at risk, or harassment, verbal abuse, or other factors are interfering with the inspection process.

Conduct an in-person exit interview with the draft Inspection Report in hand if the licensee/registrant requests the opportunity to review the NCI narrative(s) prior to finalization of the Inspection Report.

Take as much time as necessary during the exit interview to:

- Discuss animal welfare and the AWA Regulations and Standards with the licensee/registrant
- Summarize everything that occurred during the inspection, and provide the licensee or registrant an opportunity to present additional information that may influence the determination of compliance
- Discuss each noncompliant item in detail with the licensee/registrant or facility representative. If the licensee or registrant provides information or documentation that influences an NCI on the current version of the Inspection Report, modify the report to accurately reflect the compliance of the facility before it is issued.
- Show the licensee or registrant any photos/videos taken during the inspection to communicate exactly what the noncompliance is (See [Licensee/Registrant Requesting Photographs](#))
- Inquire about what the licensee/registrant might consider doing to correct the problem and discuss options with him/her (if asked)
- Discuss the animal inventory and animal counts with the licensee. Ensure all species and numbers are correct prior to finalizing the inventory report and provide a copy of the finalized inventory report to the licensee with the Inspection Report.

Unless an exit interview could not be completed (for example, it is unsafe or there may not be an exit interview for a carrier inspection at an airport), a statement must be added to the Inspection Reports through eFile stating, "This inspection and exit interview were conducted with \_\_\_\_." Do **not** use actual names of facility representative or personnel, only titles.

### NOTICE

If the Inspection Report is to be delivered by email or certified mail, you must still conduct a detailed and thorough exit interview. Any item that you will be citing on the Inspection Report **must** be discussed during the exit interview.

### 3.3. Completing the Inspection Report

#### 3.3.1. General Information

The inspector **must** complete an official Inspection Report as soon as possible at the end of the inspection. (See Notice Box below). **Remember** that Inspection Reports with a Direct NCI must be completed and delivered to the licensee/registrant immediately after the inspection. The Inspection Report should follow the format of the Inspection Report template in eFile.

For information and instruction on how to plan an inspection, enter data, and finalize an Inspection Report in eFile, refer to the training material provided to you and contact your SACS if you need assistance.

##### NOTICE

Inspection Reports are to be finalized in eFile, delivered in person, or sent to the licensee or registrant, **within 5 business days of the date of the inspection.**

If an Inspection Report has a correction deadline that is less than 5 business days, the licensee or registrant must receive the Inspection Report prior to the earliest deadline. Exceptions to the 5 day or earliest deadline delivery must be pre-approved by a SACS.

The Inspection Report **must** contain the following general information entered automatically by eFile:

- Business name
- Customer ID
- Date of inspection
- Licensee, registrant, or applicant's name as listed on Application for License or Registration
- Mailing address as listed on Application for License or Registration
- Site name, if applicable
- Site number or TRA (Traveling on the Road) (see Traveling (TRA) Site) as assigned by eFile. Make sure that you are in the correct site, and ensure you do **not** enter an inspection into an inactive site
- USDA license or registration number (except for prelicense inspections)

If any of the above information is incorrect in eFile due to a **data entry error**, such as a misspelled name or transposed address numbers, contact Program Support to have the information corrected before you complete the Inspection Report.

## NOTICE

The **'prepared by'** and **'signed by'** dates do not have to be the same.

3. Correct the major mistake for which the amended Inspection Report is being generated
4. Cite the noncompliances that were correct on the original Inspection Report. These noncompliances must be identical to the citations that were on the original Inspection Report.

Do **not** put a statement or any reference on the Inspection Report that this was an amended Inspection Report.

### 3.3.21. Inspection Appeals Process [2.13]

If the licensee/registrant has a concern about any findings on the Inspection Report, he/she may use the inspection appeals process to resolve the dispute.

#### 3.3.21.1. Prior to Finalizing the Inspection Report

If a licensee/registrant/facility representative has questions or concerns about a noncompliant item(s) cited on the Inspection Report, the inspector should explain why the noncompliance was cited and give the facility representative the opportunity to provide additional information pertinent to the findings at the exit interview (see [Exit Interview](#) in Chapter 2). If the concern is resolved, change the citation. If the concern cannot be resolved:

- Inform the licensee/registrant/facility representative of the next step in the appeals process
- Give the licensee/registrant/facility representative a copy of the [Appeals Process Factsheet](#)

If there was an unresolved disputed noncompliance:

- Photograph any NCI that the licensee/registrant is going to appeal or likely to appeal (see [Inspection Photographs](#) in Chapter 2)
- Finalize the Inspection Report
- Inform your SACS that there may be an appeal of a noncompliance item(s) cited on the Inspection Report

#### 3.3.21.2. After Finalizing the Inspection Report

If a licensee/registrant/facility representative has questions or concerns about a noncompliant item(s) cited on the Inspection Report, meet with the licensee/registrant/facility representative, if requested, to discuss the noncompliance.

If you and the licensee/registrant/facility representative resolve the disagreement on the noncompliance: